

REMARKS

This is a preliminary amendment in which the Applicant has eliminated multiple dependencies.

A favorable first action is respectfully requested.

If, for any reason, the Examiner is of the opinion that a telephone conversation with the Applicant's representative would expedite prosecution, the Examiner is invited to contact the undersigned at 617-573-7851.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Timothy J. Oyer', is written over a horizontal line.

Timothy J. Oyer, Reg. No. 36,628
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, Massachusetts 02210
Tel. 617-720-3500

Docket No.: W0538/7003
Date: May 2, 2001
x05/03/01

MARKED-UP CLAIMS

41. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security comprises a voting right in the entity.

42. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security represents a debt interest in the entity.

46. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security represents an equity interest in the entity.

48. (Amended) The method [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security comprises a certificate of interest or participation in at least one of a profit-sharing agreement and an oil, gas, or mineral royalty or lease issued by the entity.

49. (Amended) The method [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security comprises at least one of a collateral-trust certificate, a preorganization certificate or subscription, a transferable share, an investment contract, a voting-trust certificate, and a certificate of deposit for a security issued by the entity.

50. (Amended) The method [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security comprises an option in securities issued by the entity.

55. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security is convertible, with or without consideration, into another security, or carries a warrant or right to subscribe to or purchase such other security.

56. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security comprises a certificate of interest or participation in, temporary or interim certificate for, receipt for, or warrant or right to subscribe to or purchase, a security issued by the entity.

57. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security is issued by a corporation.

58. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security is issued by a partnership.

59. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security is issued by a limited liability company.

60. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security is issued by a limited liability partnership.

61. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security is issued by a trust.

62. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security is issued by a labor group.

63. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security is issued by a union.

64. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1 wherein the security is issued by a mutual fund.

65. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the security is issued by a at least one of an individual and a group of individuals with assets or which are capable of providing goods or services.

66. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the royalty is a measure of economic benefit to the issuing entity.

67. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the royalty is a measure of economic detriment to at least one of the other parties or intermediaries involved in the transaction.

79. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the royalty to be paid to the issuing entity is due to the entity for every transaction.

80. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the royalty to be paid to the issuing entity is due to the entity for every predetermined number of transactions.

81. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the royalty to be paid to the issuing entity is due to the entity for a sets of transactions.

82. (Amended) The method of [one of claims 1, 4-9, 16-20, 36, 39, or 40,] claim 1, wherein the royalty to be paid to the issuing entity is due to the entity for randomly selected transactions.

83. (Amended) The method of claim 1, [4-9, 16-20, 36, 39, or 40,] wherein the royalty to be paid to the issuing entity is due to the entity for transactions involving only particular securities issued by that entity.

84. (Amended) The method of claim 1, [4-9, 16-20, 36, 39, or 40,] wherein the royalty to be paid to the issuing entity is due to the entity only for particular types of transactions.